

COPY OF PAPERS
ORIGINALLY FILED

PTO/SB/21 (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL
FORM

(to be used for all correspondence after initial filing)

Applicati n Numb r 10/092,210

Filing Dat 03/06/2002

First Named Inventor Iwao Katsuyama

Group Art Unit 1619

Examiner Name

Total Number of Pages in This Submission 5

Attorney Docket Number KUP-D0201

RECEIVED
APR 25 2002
TECH CENTRAL 1600/2900

ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
☐ Fee Attached
☐ Amendment / Reply
☐ After Final
☐ Affidavits/declaration(s)
☐ Extension of Time Request
☐ Express Abandonment Request
☒ Information Disclosure Statement
☐ Certified Copy of Priority Document(s)
☐ Response to Missing Parts/ Incomplete Application
☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
☐ Drawing(s)
☐ Licensing-related Papers
☐ Petition
☐ Petition to Convert to a Provisional Application
☐ Power of Attorney, Revocation Change of Correspondence Address
☐ Terminal Disclaimer
☐ Request for Refund
☐ CD, Number of CD(s) _____

- ☐ After Allowance Communication to Group
☐ Appeal Communication to Board of Appeals and Interferences
☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
☐ Proprietary Information
☐ Status Letter
☒ Other Enclosure(s) (please identify below):

2 References
Postcard

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name

Brown & Michaels, PC

Signature

Thomas T. Agall

Date

4/16/2002

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: April 16, 2002

Typed or printed name

Justin Wood

Signature

h n o d

Date

4/16/02

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED

THE COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APR 25 2002

TECH CENTER 1600/2900

In re the application of: Iwao Katsuyama
For: EXPERIMENTAL MODEL AND METHOD FOR EVALUATION OF
THERAPEUTIC AGENTS AGAINST ASTHENOPIA
Filed: March 6, 2002
Application No.: 10/092,210
Art Unit: 1619
Attorney Docket No.: KUP-DO201

COPY OF PAPERS
ORIGINALLY FILED

INFORMATION DISCLOSURE STATEMENT

List of Sections Forming Part of This Information Disclosure Statement

The following sections are being submitted for this information Disclosure Statement

1. [X] Preliminary Statements
2. [X] FORM PTO - 1449 (Modified)
3. ☐ Statement As To Information Material To Examination Not Found in Patents or Publications
4. ☐ Identification of Prior Application In Which Listed Information Was Already Cited and For Which No Copies Are Submitted Or Need Be Submitted.
5. ☐ Cumulative patents or Publications
6. [X] Copies of Listed Information Items Accompanying This Statement
7. ☐ Concise Explanation of Non-English Language Listed Information Items.
8. ☐ Translation(s) of Non-English Language Documents
9. ☐ Certification under MPEP 609(e)
10. [X] Identification of Person(s) Making This Information Disclosure Statement

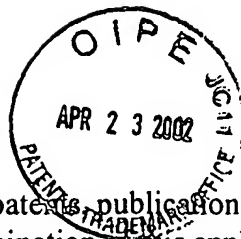
CERTIFICATE OF MAILING

[X] Certified Mail No: 7001 1940 0001 4327 3761

Date: April 16, 2002

I hereby certify that this correspondence is being deposited with the United States Postal Service, return receipt requested in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231 on this date.

Justin Wood



COPY OF PAPERS
ORIGINALLY FILED

APR 25 2002

TECH CENTER 1600/2900

Section 1. Preliminary statements

Applicant submits herewith patents, publications or other information of which he is aware, which he believes may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR 1.56.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 CFR 1.56(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

Section 2. Form PTO - 1449 (Modified) (SEE ATTACHMENT)

*EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw a line through citation if not in conformance or not considered. Include a copy of this form with the next communication to applicant.

**Section 3. Statement As To Information Material For Examination Not Found in Patents or Publications
(Information not listed in PTO 1449)**

**Section 4. Identification of Prior Application in Which Listed Information Was Already Cited and For
Which No Copies Are Submitted Or Need Be Submitted**

Section 5. Cumulative Patents or Publications

☐ Item(s)

are cumulative of the following patents or publication listed on Form PTO 1449 (modified):

In accordance with 37 CFR 1.98(c) a copy of _____ is being submitted with this information disclosure statement.

Section 6. Copies of Listed Information Items Accompanying This Statement

Legible copies of all items listed accompany this information statement.

☐ Exception(s) to above:

☐ Items in prior application from which an earlier filing date is claimed for this application as identified in Section 4.

☐ Cumulative patents or publications identified in Section 5.

Section 7. Concise Explanation of Non-English Language Listed Information Items

Section 8. Translation(s) of Non-English Language Documents

☐ Submitted herewith is an English translation of the following foreign language patents, publications or information or of those portions of those patents, publications or information considered to be material:

☐ No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.

☐ The following foreign language documents submitted are believed to be the equivalent or

substantial equivalent of the English language documents identified below, which are also submitted herewith.

Section 9. Certification under Rule 1.97

☐ The undersigned hereby certifies that:

a. This Statement is being filed after the latest of (1) three months after the filing date of a national application; (2) three months after the date of entry of the national stage as set forth in w 1.491 in an international application; (3) the mailing date of a first Office action on the merits.

b. The fee set forth in §1.17(p)

☐ Is being paid with this Information Disclosure Statement

☐ Is not due because:

☐ (1) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement, or

☐ (2) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the statement.

Section 10. IDENTIFICATION OF PERSON(S) MAKING THIS INFORMATION DISCLOSURE STATEMENT

The person making this statement is

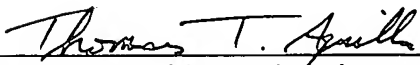
(a) ☐ the inventor(s) who signs below

(b) ☒ the attorney who signs below on the basis of:

☐ the information supplied by the inventor(s)

☐ an individual associated with the filing and prosecution of this application (37 CFR 1.56(c)).

☒ the information in the attorney's file


Thomas T. Aquilla, Registration No. 43,473
BROWN & MICHAELS, PC
400 M&T Bank Building, 118 N. Tioga Street
Ithaca, New York 14850-4343
Voice: (607) 256-2000 Fax: (607) 256-3628
e-mail: bpm@bpmlegal.com
Customer number: 020808

4/16/2002
Date: April 16, 2002

Section 2. Form PTO - 1449 (Modified) (ATTACHMENT)

COPY OF PAPERS
ORIGINALLY FILED

| | | |
|--------------------------------------------------------------------------------|------------------------------|--------------------------|
| FORM PTO-1449 U.S. DEPT. OF COMMERCE (Modified) PATENT AND TRADEMARK OFFICE | ATTY DOCKET NO. KUP-D0201 | SERIAL NO. 10/092,210 |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT | APPLICANT Iwao Katsuyama | GROUP 1619 |
| | FILING DATE 3/6/02 | |

U.S. PATENT DOCUMENTS

| Exam Initial | DOCUMENT NUMBER | DATE | PATENTEE | CLASS | SUB | FILING DATE IF APPROPR |
|-----------------|--------------------|------|----------|-------|-----|---------------------------|
| | | | | | | |

FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

| Exam Initial | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB | TRANSLATION YES NO |
|-----------------|--------------------|-----------|----------|-------|------|-------------------------|
| | AA | 07-133225 | 05/23/95 | JAPAN | A61K | 31/54 |
| | AB | 09-059173 | 03/04/97 | JAPAN | A61K | 38/00 |

OTHER PRIOR ART

| Exam Initial | Author, Title, Date, Pertinent Pages, Etc |
|-----------------|-------------------------------------------|
| | |
| EXAMINER | DATE CONSIDERED |
| | |
| | |

RECEIVED
APR 25 2002
TECH CENTER 1600/2900